**Sample Monitoring Report, based on CBLD template policy**

Monitoring Report, January 25, 2018

Policy: B6 – Staff Treatment and Compensation, Last revised: July 5, 2017

**I report compliance with all parts of this policy.**

Unless indicated otherwise all information is accurate as of January 1, 2018. (Note that throughout this report, compliance is based on the current data. Data from previous years is included for your information.)

I certify that the information contained in this report and attachments is true.

Signed\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, General Manager

Attachment: 2017 Staff Survey summary report, 2017 Livable Wage Worksheet, Memo from Human Resources Manager regarding GM compensation

The General Manager must not treat staff in any way that is unfair, unsafe, or unclear.

**Interpretation:**

This policy can be viewed in two ways. First, the Co-op should be an excellent workplace, with these limitations setting out minimal aspirations. Second, the GM herself should treat staff well.

Compliance with the top level policy stipulations concerning co-op-wide fairness and clarity will be achieved when compliance with the sub-policies is established *and* when staff survey responses indicate that no discrimination is occurring. Discrimination-related definitions and data are included in this global section; please also look to the sub-policy section of the report for further definitions and data.

Safe working conditions are determined both by staff perceptions of safety and objective assessments by insurance providers and/or other objective 3rd party inspectors.

For the GM as an individual, compliance will be established by the survey responses about supervision from managers and staff who report directly to the GM.

Throughout this report, I rely on data collected through the Employee Survey conducted by Carolee Colter (outside HR consultant) in December, 2017. Management engaged Ms. Colter in 2015 as an outside party to provide a professional review of this B1 policy with management. As surveys measure perceptions, not necessarily facts, it is necessary to back up certain of these survey scores with other data in order to prove compliance. Management conducted a full staff survey in 2016. The 2017 survey was a partial “off year” survey, involving twelve staff members (1/3 of the staff). Ms. Colter determined that a smaller sampling of staff was all that was needed to check the results from 2016. Staff members were randomly chosen by Ms. Colter, taking into account their department, so that a fair cross section of the staff was represented.

For the survey scores, I will use the standard for compliance suggested by Carolee Colter in the survey report:

“On most questions related to a particular policy, I consider a score of **3.25** to be the minimum to demonstrate compliance. That score would indicate that more employees agree with the question than disagree.

However, for questions involving discrimination and harassment on the basis of status in a protected group, I consider **3.75** to be a minimum score to demonstrate compliance. This is because it is possible for a minority to feel discrimination of which the majority is unaware. Also I consider standard deviation of no more than **1.00** as one of the recommended standards for questions about discrimination or harassment, because otherwise a high average score could mask the existence of such a minority opinion.

For the scores of the managers and staff reporting to the GM on the questions concerning their GM as direct supervisor, I consider **3.50** to be the minimum to demonstrate compliance. I believe the GM’s ratings need to be higher because the leadership team plays a key role in compliance with all Staff Treatment policies, and their effectiveness as a team depends on the leadership of the GM.

The standards for scores demonstrating compliance have been developed in collaboration with other Columinate consultants on the HR and CBLD teams.”

**Operational Definitions:**

* When surveyed, staff will rate their overall sense of their workplace at least 3.25.
* Staff will rate safety at least 3.25.
* Staff survey ratings of statements about workplace discrimination will be at least 3.75, with a standard deviation of no more than 1.00.
* Survey ratings about supervision from managers and other staff who report directly to the GM will be at least 3.5.
* The co-op will have an experience rating of 1.05 or less from workers compensation insurance premium calculation. (Experience rating is standard insurance industry calculation based on the frequency and severity of claims relative to other organizations in a sector, with scores greater than1.00 being worse than average.)
* We will have our HR systems and practices reviewed by a 3rd party HR professional every 3 years.

**Data:**

* Overall Satisfaction

|  |  |  |  |
| --- | --- | --- | --- |
| **Staff Survey Question** | average score 2015 | average score 2016 | average score 2017 |
| *e.g., I would recommend the co-op as a good place to work*. |  |  |  |
| *Other relevant questions…*. |  |  |  |

* Safety

|  |  |  |  |
| --- | --- | --- | --- |
| **Staff Survey Question** | average score 2015 | average score 2016 | average score 2017 |
| *e.g., The physical working environment (parking lot, retail floor, equipment, restrooms, etc.) of the store is safe.* |  |  |  |
| *Other relevant questions…*. |  |  |  |

* Discrimination

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Staff Survey Question** |  | 2015 | 2016 | 2017 |
| *e.g., Co-op employees are treated fairly regardless of race, sex, sexual orientation, gender identity and expression, age, religion, national origin, marital/parental status, veteran’s status, or mental or physical disability.* | Average Score |  |  |  |
| Standard Deviation |  |  |  |
| *Other relevant questions…*. | Average Score |  |  |  |
| Standard Deviation |  |  |  |

* Scores on supervision questions from managers and staff who report directly to the GM

|  |  |  |  |
| --- | --- | --- | --- |
| **Staff Survey Question** | average score 2015 | average score 2016 | average score 2017 |
| *e.g., My supervisor lets me know what is expected of me.* |  |  |  |
| *Other relevant questions…*. |  |  |  |

* Experience Rating(Note that compliance is based on this years’ Experience Rating. Other data is presented FYI.)

|  |  |  |  |
| --- | --- | --- | --- |
|  | 2015 | 2016 | 2017 |
| Average Number of Employees |  |  |  |
| Workers Comp Claims |  |  |  |
| **Experience Rating** | 0.85 | 1.03 | **0.98** |

* Professional review of our HR systems and practices

|  |  |
| --- | --- |
| Reviewer | Review date |
| Melanie Reid | January 2010 |
| Carolee Colter | May 2014 |
| Sarah Dahl | May 2017 |

The GM must not:

1. Operate without written personnel policies that:
   1. Clarify rules for staff.
   2. Provide for fair and thorough handling of workplace conflicts. The board should not be included as a participant in the conflict resolution process.
   3. Are accessible to all staff.
   4. Inform staff that employment is neither permanent nor guaranteed.
   5. Encourage employees to report unethical or illegal behavior.

**Interpretation:**

I interpret this to mean that the Co-op should have in place a personnel policy manual that states policies and procedures in a clear manner. The manual should meet objective, professional standards, and each employee should receive this manual when they are hired.

Conflicts inevitably arise in any workplace. An *excellent* workplace like ours should allow and encourage employees to resolve conflicts in as clear and direct a manner as possible. We have based the procedure in our personnel manual on suggestions from our HR consultant at Columinate. (See [Workplace Conflict Policy FAQ](http://library.cdsconsulting.coop/workplace-conflict-policy-faq/) for more information.)

**Operational Definitions:**

* A current manual will be on file with the HR manager.
* The personnel manual will include a specific workplace conflict resolution process. The process will not include the board.
* The manual will also include a specific process that employees can use if they know of or suspect unethical or illegal behavior. The process will include a clear statement that employees should inform the board if the GM is implicated in this behavior.
* Staff survey responses will indicate (by a score of at least 3.25) that employees understand and approve of the conflict resolution procedure.
* Any workplace conflicts will be handled according to the process described in the employee manual.
* A completed Employee Acknowledgement Form (on which employees indicate that they have received and read the manual) will be in each employee’s personnel file.
* The manual and the acknowledgement form will include specific language concerning the “at will” status of employment at the Co-op.

**Data:**

* The HR Manager has copy of the Personnel Policy Manual on file. It is available for review upon request.
* Pages xx-yy of the manual detail the conflict resolution procedure.
* Pages xx-yy of the manual detail the procedure to follow in the case of unethical or illegal behavior.
* Employees understand and approve of the conflict resolution procedure and the procedure to follow in the case of unethical or illegal behavior. (Note that compliance is based only on the last column; other data is presented FYI.)

|  |  |  |  |
| --- | --- | --- | --- |
| **Staff Survey Question** | average score 2015 | average score 2016 | average score 2017 |
| *e.g., I know what to do if I have a disagreement with a management decision.* |  |  |  |
| *Other relevant questions…*. |  |  |  |

* During this reporting period, three employees initiated the formal part of our conflict resolution procedure involving the HR manager. Each of these cases has been resolved as of January 1. (We don’t keep track of the number who may have used the informal “early stages” of the procedure.)
* As of January 1, each employee’s file includes a signed acknowledgement form.
* Our Personnel Manual states on page 2: *This Handbook is not a guarantee of continued employment or any term, privilege or condition of employment. Employment at the Co-op is "at will." This means that both the Co-op and its employees have the right to terminate the employment relationship at any time, with or without cause and with or without notice for any reason not prohibited by law. Nothing in this employee handbook or in any document or statement, written or oral, shall limit the right to terminate employment at-will. No representative of the co-op is authorized to enter into any agreement to the contrary to that employment relationship*.  
  The Acknowledgement form states, *I specifically acknowledge that employment at the Co-op is ‘at will.’ Both the Employee and the Co-op reserve the right to terminate the employment at any time.*

1. Prevent any employee from reporting unethical or illegal activity to the board, or discriminate or retaliate against any employee for reporting unethical or illegal behavior or activity.

**Interpretation:**

As mentioned in section 1 above, our personnel policy should clearly state that employees can and should inform the board of unethical or illegal behavior involving the GM. In addition, no manager (including the GM) should attempt to interfere with or take action against an employee who wants to or does bring such information to the board, whether or not the allegations are substantiated.

For the sake of this policy, retaliation or discrimination will be defined as an adverse action (for example, termination, assignment to less desirable work, discipline, refusal to hire or promote) against an employee because they reported unethical or illegal activity. A feeling of discomfort or awkwardness in communicating with a manager after an employee has made such a report does not count as retaliation or discrimination.

**Operational Definitions:**

* All senior managers will receive yearly training from a professional HR consultant that includes instruction on this policy.
* No employee will make a valid claim to the board of interference, discrimination or retaliation for reporting unethical or illegal activity. Whether any such claim is “valid” will be determined by an objective 3rd-party HR consultant.

**Data:**

* HR training (including non-discrimination/retaliation) for senior management

|  |  |  |
| --- | --- | --- |
| Date of training | Trainer | % of senior managers in attendance |
|  |  |  |
|  |  |  |
|  |  |  |

* During this reporting period, no employee made any claims to the board of interference, discrimination or retaliation.

1. Cause or allow personnel policies to be inconsistently applied.

**Interpretation:**

It is not enough to have policies – managers should be trained so they understand how our policies work, and employees in a good workplace must perceive that the policies are followed consistently.

**Operational Definitions:**

* Managers will be trained in their management duties at least annually.
* When surveyed, staff will rate consistency at least at 3.25.

**Data:**

* Management training

|  |  |  |  |
| --- | --- | --- | --- |
|  | 2016 | 2017 | 2018 |
| # of managers as of report date |  |  |  |
| # of those managers attending at least one manager training during previous 12 months |  |  |  |

* Survey data

|  |  |  |  |
| --- | --- | --- | --- |
| **Staff Survey Question** | average score 2015 | average score 2016 | average score 2017 |
| *e.g., To the best of my knowledge, corrective action is handled fairly and consistently throughout the store.* |  |  |  |
| *Other relevant questions…*. |  |  |  |

1. Provide for inadequate documentation, security and retention of personnel records and all personnel related decisions.

**Interpretation:**

The Co-op will securely maintain employee and employment files for every employee and applicant for the appropriate length of time.

**Operational Definitions:**

* Records will be held in a secure location.
* The Co-op follows all state and federal requirements for record retention.
* Only authorized personnel have access to employee records. (Authorization protocols are available upon request.)
* We will update or modify our records-management practices based on the periodic 3rd-party review of our HR systems.

**Data:**

* All records are locked and there are no instances of records missing or compromised.
* There are no known instances of noncompliance with state and federal record retention requirements. Our auditor noted no issues about record retention in the FYE 2017 audit report.
* There has been no unauthorized use of personnel records.
* The December 2017 HR review by Sarah Dahl noted that we had followed all recommendations from the 2014 review. We plan to fully implement the most recent recommendations before the end of the fiscal year.

1. Establish compensation and benefits that are internally or externally inequitable.

**Interpretation:**

*(Note that this section of the template report shows some options for demonstrating equitable compensation and benefits. The GM is always responsible for deciding what benchmark to use for any policy; in this case, there is no need to use all the options shown here.)*

This policy establishes four criteria:

* co-op employees should be able to anticipate that they will receive a wage based on their job description and that job’s placement on the wage scale
* wages paid by the co-op compare favorably to wages paid by similar businesses in our area  
  ***OR***  
  wages paid by the co-op will meet or exceed a livable wage for our region
* benefits offered by the co-op should compare favorably to benefits offered by similar businesses in our region  
  ***AND/OR***employees will feel like their job offers reasonable benefits
* no co-op employees should receive benefits that are not offered to other employees of the same employment status (full or part-time)

**Operational Definitions:**

* Job descriptions exist for each position, and each position has an associated pay level.
* The median wage for similar jobs in our region will fall within the range of our wage scale, and the low-end of our wage scale will be higher than the 25th percentile wage paid for similar jobs. The comparison data will come from the most recent US Department of Labor National Compensation Survey for our region.  
  ***OR***  
  Each employee who has worked at the co-op at least one year will be paid a livable wage as calculated by the NCG Co-op Livable Wage Model. (More information about the Livable Wage Model is available upon request.)
* Benefits will appear reasonably comparable to those offered by other grocery businesses in our market.  
  ***AND/OR***Staff survey responses will indicate (by a score of at least 3.25) that employees believe their benefits are reasonable in comparison to other jobs in the area.
* No employee will file a valid claim that they did not receive benefits accorded to other employees.

**Data:**

* Each employee has a job description on file in their personnel file. If desired, this information is available for Direct Inspection at the request of the Board.
* Wage comparison to similar jobs in our region

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Pay Levels** | **Job Titles** | **25th percentile wage** | **Co-op Min** | **Co-op Max** | **Median Wage from US DoL** |
| **Level I** | Clerk | **$7.25** | **$7.75** | **$11.00** | **$8.11** |
| **Level II** | Cross-trained Clerk | **$7.40** | **$8.00** | **$12.00** | **$9.23** |
| **Level III** | Hot Bar Cook, Baker, Admin Asst. | **$8.00** | **$9.00** | **$14.00** | **$10.95** |
| **Level IV** | MOD, Department Supervisor, Hot Bar Lead, Bakehouse Lead, Buyer, Scan Coordinator | **$9.50** | **$10.00** | **$16.00** | **$13.28** |
| **Level V** | Department Manager, Bookkeeper | **$10.00** | **$11.00** | **$18.00** | **$17.07** |
| **Level VI** | Manager |  |  | Negotiated with Board | See data in GM comp proposal |

***OR***

Livable Wage comparison

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| as of Jan 1 | Total # of employees | # of employees with > 1 yr | Lowest wage of employee with > 1 yr | Co-op Livable Wage |
| 2018 |  |  |  |  |
| 2017 |  |  |  |  |
| 2016 |  |  |  |  |

* Benefits Comparison (Note that data for other businesses was taken from the employment page of their website. Data was gathered in December 2017.)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Company | Fresh Market | Whole Foods | Safeway | Trader Joe’s | Our Co-op |
| Health insurance | X | X | X | X | X |
| Prescriptions |  |  | X | X |  |
| Dental | X | X | X | X | X |
| Vision |  | X | X | X | X |
| Life |  | X | X | X | X |
| Short-term disability |  |  |  | X | X |
| Flexible Spending Acct |  |  | X |  |  |
| Vacation | X | X |  | X | X |
| Personal/sick time | X | X |  | X | X |
| 401(k) or other | X | X | X | X | X |
| Pension |  |  | X |  |  |
| Staff discount | ? | 20% | ? | 10% | 15% |
| Other | Innovative culture, fun environment | Emergency fund, Gainsharing | Education program | Crew member assistance, leadership development | Free classes  Bike to Work |

***AND/OR***

|  |  |  |  |
| --- | --- | --- | --- |
| **Staff Survey Question** | average score 2015 | average score 2016 | average score 2017 |
| *e.g., I am fairly compensated with benefits compared to other jobs I could get in the area.* |  |  |  |
| *Other relevant questions…*. |  |  |  |

* No claims (valid or not) about benefits were filed during this reporting period.

1. Change the GM’s own compensation and benefits, except as his or her benefits are consistent with a package for all other employees.

**Interpretation:**

The GM’s compensation and benefits are agreed to by the Board and GM, using the Board’s GM Compensation Process. If the Co-op changes benefits that affect all employees, the GM’s benefits may also change.

**Operational Definitions:**

* The HR Manager will provide the board with a signed memo detailing the GM’s compensation and benefits, and will specify any changes in benefits that affected the GM’s package since the most recent GM Compensation Process.

**Data:**

* See attached memo.